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**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**

Declaration Submitted with Initial Filing

OR

Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number	091/006C
First Named Inventor	Melissa K. Carpenter, et al.
<b>COMPLETE IF KNOWN</b>	
Application Number	/ [to be assigned]
Filing Date	[herewith]
Group Art Unit	[to be assigned]
Examiner Name	[to be assigned]

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Techniques for Growth and Differentiation of Human Pluripotent Stem Cells

(Title of the Invention)

the specification of which

is attached hereto and is amended by the attached Preliminary Amendment.

OR

was filed on (MM/DD/YYYY)   as United States Application Number or PCT International

Application Number   and was amended on (MM/DD/YYYY)   (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

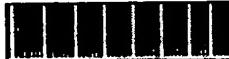
I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

## DECLARATION — Utility or Design Patent Application

Direct all correspondence to:  Customer Number  
or Bar Code Label  OR  Correspondence address below

022869

Name

PATENT TRADEMARK OFFICE

Address

City

State

ZIP

Country

Telephone

Fax

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR :  A petition has been filed for this unsigned inventor

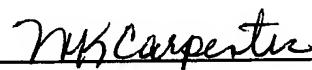
Given Name  
(first and middle [if any])

Melissa K.

Family Name  
or Surname

Carpenter

Inventor's  
Signature



Date 5/4/01

Residence: City

Castro Valley

State

California

Country

US

US

Citizenship

Mailing Address

Castro Valley

State

California

ZIP 94552

Country

US

NAME OF SECOND INVENTOR:

A petition has been filed for this unsigned inventor

Given Name  
(first and middle [if any])

Walter D.

Family Name  
or Surname

Funk

Inventor's  
Signature



Date 5.08.01

Residence: City

Hayward

State

California

Country

US

CA

Citizenship

Mailing Address

25432 Modoc Court

City

Hayward

State

California

ZIP 94542

Country

US

Additional inventors are being named on the 2 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

## DECLARATION — Utility or Design Patent Application

Direct all correspondence to:  Customer Number  
or Bar Code Label 022869 OR  Correspondence address below

Name

Address

City

State

ZIP

Country

Telephone

Fax

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR :  A petition has been filed for this unsigned inventor

Given Name (first and middle [if any])	Joseph D.	Family Name or Surname	Gold
-------------------------------------------	-----------	---------------------------	------

Inventor's  
Signature

Date 5/31/01

Residence: City	San Francisco	State	California	Country	US	Citizenship
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100 Lundy's Lane  
Mailing Address

City	San Francisco	State	California	ZIP	94110	Country	US
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NAME OF SECOND INVENTOR:  A petition has been filed for this unsigned inventor

Given Name (first and middle [if any])	Margaret S.	Family Name or Surname	Inokuma
-------------------------------------------	-------------	---------------------------	---------

Inventor's  
Signature

Date 5/4/01

Residence: City	San Jose	State	California	Country	US	Citizenship
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Mailing Address 1155 Fargate Circle

City	San Jose	State	California	ZIP	95131	Country	US
------	----------	-------	------------	-----	-------	---------	----

Additional inventors are being named on the 1 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.

## DECLARATION — Utility or Design Patent Application

Direct all correspondence to:  Customer Number  
or Bar Code Label 022869 OR  Correspondence address below

Name

Address

City

State

ZIP

Country

Telephone

Fax

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**NAME OF SOLE OR FIRST INVENTOR :**  A petition has been filed for this unsigned inventor

Given Name  
(first and middle [if any])

Chunhui

Family Name  
or Surname

Xu

Inventor's  
Signature

Date 5/4/01

Residence: City

Cupertino

State

California

Country

US

CN

Citizenship

Mailing Address

Cupertino

State

California

ZIP

95014

Country

US

**NAME OF SECOND INVENTOR:**  A petition has been filed for this unsigned inventor

Given Name  
(first and middle [if any])

Family Name  
or Surname

Inventor's  
Signature

Date

Residence: City

State

Country

Citizenship

Mailing Address

City

State

ZIP

Country

Additional inventors are being named on the \_\_\_\_\_ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.

**COPY**

PATENT  
Docket No.: 091/200PCT

ASSIGNMENT

Whereas we, Melissa K. Carpenter, Walter D. Funk, Joseph D. Gold, Margaret S. Inokuma, and Chunhui Xu

executed employment agreements with Geron Corporation (hereinafter called Geron), a Delaware Corporation having its principal place of business at 230 Constitution Drive, Menlo Park, CA 94025, whereby we have agreed to assign to Geron all inventions (except as otherwise limited by law) which relate to Geron business and which were first conceived or actually reduced to practice during our employment by Geron;

Now, therefor, pursuant to the terms of said employment agreements and for good and valuable consideration, receipt of which is hereby acknowledged, we do hereby sell, assign and transfer unto Geron, its successors and assigns, the entire right, title and interest, including the right of priority in, to and under an application for Letters Patent of the United States entitled:

TECHNIQUES FOR GROWTH AND DIFFERENTIATION OF HUMAN PLURIPOTENT STEM CELLS

Serial No. PCT/US01/01030 filed on 10 January 2001 and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor;

And for the above consideration, we agree promptly upon request of Geron, its successors or assigns, to execute and deliver without further compensation any power of attorney, assignment, application, whether original, continuation, divisional or reissue, or other papers which may be necessary or desirable fully to secure to Geron, its successors and assigns, the inventions described in said application and all patent rights therein, in the United States and in any country foreign thereto, and to cooperate and assist in the prosecution of interference proceedings involving said inventions and in the adjudication or reexamination of said Letters Patent provided the expenses which may be incurred by me in lending such cooperation and assistance are paid by Geron.

In witness whereof, we hereunto set our hands and seal:

Inventor's Signature: MK Carpenter Date: 2/2/01  
Melissa K. Carpenter

Inventor's Signature: Walter D. Funk Date: \_\_\_\_\_  
Walter D. Funk

Inventor's Signature: Joseph D. Gold Date: 2/2/01  
Joseph D. Gold

Inventor's Signature: Margaret S. Inokuma Date: 2/20/01  
Margaret S. Inokuma

Inventor's Signature: Chunhui Xu Date: 2/13/01  
Chunhui Xu

State of California  
} ss.  
County of San Mateo

Before me this 2nd day of February 2001 personally appeared  
Melissa K. Carpenter personally known to me (or proved to me on the basis of satisfactory evidence)  
to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he/she executed the  
same in his/her authorized capacity, and that by his/her signature on the instrument the person executed the instrument.

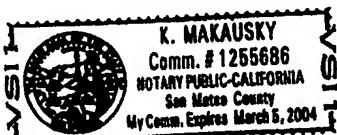


Notary Stamp/Seal

kmakasky  
Notary Public

State of California  
} ss.  
County of San Mateo

Before me this 2nd day of February 2001 personally appeared  
Joseph D. Gold personally known to me (or proved to me on the basis of satisfactory evidence)  
to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he/she executed the  
same in his/her authorized capacity, and that by his/her signature on the instrument the person executed the instrument.

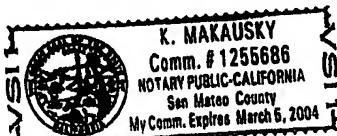


Notary Stamp/Seal

kmakasky  
Notary Public

State of California  
} ss.  
County of San Mateo

Before me this 20th day of February 2001 personally appeared  
Margaret S. Inokuma personally known to me (or proved to me on the basis of satisfactory evidence)  
to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he/she executed the  
same in his/her authorized capacity, and that by his/her signature on the instrument the person executed the instrument.



Notary Stamp/Seal

kmakasky  
Notary Public

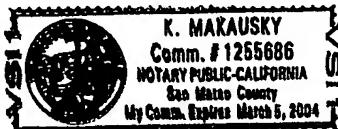
State of California

} ss.

County of San Mateo

Before me this 13<sup>th</sup> day of February 2001 personally appeared  
Chunhui Xu personally known to me (or proved to me on the basis of satisfactory evidence)  
to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he/she executed the  
same in his/her authorized capacity, and that by his/her signature on the instrument the person executed the instrument.

Notary Stamp/Seal



Kmakausky

Notary Public

10039956 - 1.023601

## ASSIGNMENT

Whereas we, Melissa K. Carpenter, Walter D. Funk, Joseph D. Gold, Margaret S. Inokuma, and Chunhui Xu

executed employment agreements with Geron Corporation (hereinafter called Geron), a Delaware Corporation having its principal place of business at 230 Constitution Drive, Menlo Park, CA 94025, whereby we have agreed to assign to Geron all inventions (except as otherwise limited by law) which relate to Geron business and which were first conceived or actually reduced to practice during our employment by Geron;

Now, therefor, pursuant to the terms of said employment agreements and for good and valuable consideration, receipt of which is hereby acknowledged, we do hereby sell, assign and transfer unto Geron, its successors and assigns, the entire right, title and interest, including the right of priority in, to and under an application for Letters Patent of the United States entitled:

### TECHNIQUES FOR GROWTH AND DIFFERENTIATION OF HUMAN PLURIPOTENT STEM CELLS

Serial No. PCT/US01/01030 filed on 10 January 2001 and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor;

And for the above consideration, we agree promptly upon request of Geron, its successors or assigns, to execute and deliver without further compensation any power of attorney, assignment, application, whether original, continuation, divisional or reissue, or other papers which may be necessary or desirable fully to secure to Geron, its successors and assigns, the inventions described in said application and all patent rights therein, in the United States and in any country foreign thereto, and to cooperate and assist in the prosecution of interference proceedings involving said inventions and in the adjudication or reexamination of said Letters Patent provided the expenses which may be incurred by me in lending such cooperation and assistance are paid by Geron.

In witness whereof, we hereunto set our hands and seal:

TOP SECRET - SECURITY

Inventor's Signature: ..... Date: .....  
Melissa K. Carpenter

Inventor's Signature: ..... Date: 2.06.01  
Walter D. Funk

Inventor's Signature: ..... Date: .....  
Joseph D. Gold

Inventor's Signature: ..... Date: .....  
Margaret S. Inokuma

Inventor's Signature: ..... Date: .....  
Chunhui Xu

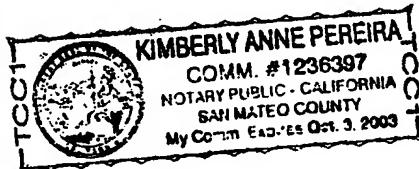
CALIFORNIA ALL-PURPOSE CERTIFICATE OF ACKNOWLEDGMENT

State of California  
County of Santa Clara

On 2-6-01 Date before me, Kimberly Anne Pereira  
Name, Title of officer  
personally appeared Walter D. Funk  
Name(s) of Signer(s)

Personally known to me  
OR

Proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.



Kimberly Anne Pereira  
Signature of notary

OPTIONAL

*The data below is not required by law, however it may prove valuable to persons relying on the document and could prevent fraudulent reattachment of this form.*

SIGNATURE AUTHORITY OF SIGNER:

INDIVIDUAL  
 CORPORATE OFFICER(S)

DESCRIPTION OF ATTACHED DOCUMENT

Title(s)

TITLE OR TYPE OF DOCUMENT

PARTNER

LIMITED  
 GENERAL

ATTORNEY-IN-FACT

TRUSTEE(S)

GUARDIAN/CONSERVATOR

OTHER: \_\_\_\_\_

NUMBER OF PAGES

DATE OF DOCUMENT

SIGNER(S) OTHER THAN NAMED ABOVE:

NAME(S) OF PERSON(S) OR ENTITY(IES) SIGNER IS REPRESENTING:

Please type a plus sign (+) inside this box → **[+]**

PTO/SB/81 (10-00)

Approved for use through 10/31/2002. OMB 0651-0035

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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## POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

Application Number	[to be assigned]
Filing Date	May 16, 2001
First Named Inventor	Melissa K. Carpenter, et al.
Group Art Unit	[to be assigned]
Examiner Name	[to be assigned]
Customer Docket Number	091/006C

I hereby appoint:

Practitioners at Customer Number

**OR**

Practitioner(s) named below:

022869 →

Place Customer  
Number here  
Label here  
**022869**

PATENT TRADEMARK OFFICE

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

The above-mentioned Customer Number.

**OR**

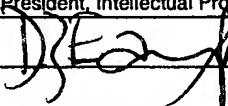
<input type="checkbox"/> Firm or Individual Name			
Address			
Address			
City	State	Zip	
Country			
Telephone	Fax		

I am the:

Applicant/Inventor.

Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

### SIGNATURE of Applicant or Assignee of Record

Name	David J. Earp, Registration No. 41,401 Vice President, Intellectual Property, Geron Corporation
Signature	
Date	May 15, 2001

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

\*Total of 1 form is submitted.

**STATEMENT UNDER 37 CFR 3.73(b)**

**COPY**

JC903 U.S. PRO  
10/039956  
10/23/01

Applicant/Patent Owner: Geron Corporation

Application No./Patent No.: *[to be assigned]*

Filing Date: May 16, 2001

Entitled: TECHNIQUES FOR GROWTH AND DIFFERENTIATION OF HUMAN PLURIPOTENT STEM CELLS

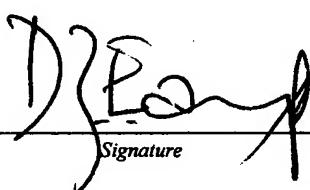
**GERON CORPORATION**, a corporation, states that it is the assignee of the entire right, title, and interest in the patent application/patent identified above by virtue of:

An assignment from the inventors of parent application PCT/US01/01030, a true copy of which is attached hereto.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

May 15, 2001

*Date*



*Signature*

David J. Earp, Reg. No. 41,401

*Typed or printed name*

Vice President, Intellectual Property

*Title*